Requirements Document

Functional Requirements

U.S. Department of Education
Department of the Ombudsman
Functional Requirements Summary

Ombudsman Functional Requirements

Purpose

This document summarizes the functional requirements for the Ombudsman Case Tracking System (OCTS), cross-referenced to the Business Requirements Matrix (from the CRM Vendor Evaluation Criteria document) and the Data Elements matrix from the OCTS Implementation Specifications document.

Related Documents

OSFA Ombudsman Implementation Specification Attachment
CRM Vendor Evaluation Criteria with calc summary

Functional Requirements

The OCTS system will use the core ("vanilla") functionality of Siebel Service version 5.6 to the maximum extent possible, modified to meet the Office of the Ombudsman customization requirements.

The description of functional requirements will be organized according to the following business processes:

- Case Tracking – OCTS provides the capability to enter, retrieve, and modify data elements associated with cases, contacts, and loans. Case tracking provides the following capabilities:
  - Capturing and storing of case-related information using the required data elements for cases, contacts, loans, activities, schools, and partners
  - Capturing and storing case history by the associated activities and documents
  - Activity tracking by storing the required data elements for defined activities
  - Case data retrieval using key word searches
- Case Processing – OCTS supports the business processes of the Office of the Ombudsman using task automation and document templates. Case processing provides the following capabilities:
  - Categorization of cases using specified data elements (case type, school type, region, lender)
  - Categorization of cases by the associated activities (action type, parties involved, length of time)
  - Task automation for case assignment and task assignment
  - Documentation templates for form letters, emails, and standard document types
  - Automated follow-up notification
  - Scripted interview questions based on defined scenarios to guide case workers in the handling of phone calls and collection of case and activity data.
- System Integration – OCTS will provide the capability to support interfaces with other SFA databases to merge data from external systems.
  - Utilities for importing loan data from the NSLDS database
- Self-service Interfaces – OCTS will provide interfaces with the public for the purpose of allowing external users to enter data related to new cases, and to query the status of existing cases.
  - Public interface to the internet so users can enter case origination information
  - Capability to interface with IVRU telephony systems
  - Capability to interface with other self service systems to collect case origination and provide case status
- Management Reporting – OCTS will provide management reports for the Ombudsman's office for the following types of information:

- Case resolution outcome
- Case processing step outcomes
- Case Status
- Case categorization reporting
- Customer Satisfaction survey
- Alerts to new problem case types

- Case History and Audit Trail – OCTS will provide the capability to archive data for the purpose of maintaining an audit trail of case activity.

System Requirements

OCTS is a server-based system, which requires connectivity to the EdNet to access the Oracle database. When using the Siebel Thin Client software, all configuration files and customization will reside on the Siebel Server. The client machine must have a supported web browser (MS Internet Explorer version 4.0 or higher), and the minimal amount of programs and libraries to support the GUI interface (approximately 7 MB).

Case Tracking

OCTS provides the capability to enter, retrieve, and modify data elements associated with cases. Information is collected on the entities listed below:

Cases – claims registered by borrowers with the Department of Education Ombudsman's Office.
Accounts – demographic information from borrowers or partners with an interest in a case.
Partners – individuals, organizations, or businesses with an interest in cases before the Ombudsman.
Contacts – borrowers or third parties with an interest in cases before the Ombudsman.
Issues – subjects of negotiation or dispute related to a case
Activities – historical record of an exchange of information related to a case or request for assistance
Loans – information obtained from the NSLDS database
Literature – standard forms, templates, and reference documents used by the Ombudsman's office during case processing
Results – final status or disposition information for a case or an issue
Calendar – for scheduling and recording work activities of the Ombudsman Specialists
Scripts – prepared interview questions for collecting information from the public concerning cases
Work Assignments – cases assigned to Ombudsman Specialists
Employees – specialists who handle work for the Ombudsman's Office

Data Requirements

Data elements to be collected for Accounts, Cases, Contacts, Issues, Loans, Results, and Research are provided in the Implementation Specifications, Attachment 1.

Accounts, Activities, Issues, Cases, and Results will all be categorized by pre-defined categories or types and sub-categories for reporting purposes. These categories will be provided to the system user by pop-up lists so the data is entered consistently.

Information gathered for the entities listed above will be gathered on screens using forms with additional requirements for showing related data listed below:

- Case Screen – contains case identifying information and links to associated accounts, names, activities and issues.
- Contacts Screen – contains the contact information for anyone associated with a case, including third parties
  - The contacts screen include the ability to show activities, notes, and cases related to a contact
  - The contacts screen has the capability to show separate lists of partners or customers
- Accounts Screen – contains the demographic information for a contact or partner
  - The accounts screen has the capability to show lists of cases, contacts, activities, loans, or results of cases associated with the account
- Activities Screen – contains status and history information related to activity or communication concerning a case
  - The activities screen has the capability to display a list of case-related activities with links to more detailed case and account screens, and to show a personal "to do" list of activities for each specialist.
- Issues Screen – contains status and notes recorded for specific pre-determined categories of issues
  - The issues screen has the capability to show lists of related activities, attachments, and results for each issue.
  - Issue #, Status, Intake specialist, and Date Opened fields will be populated by the system.
  - Issue Category, Issue Sub-Category, and Sub-Status are required field entries.

- Results Screen – contains a summary of the final resolution for a case or an issue
  - The results screen has the capability to display attached documents (assuming the appropriate document viewer software is installed on the workstation).
- Literature Screen – provides links to standard forms and documents that are kept on the server
  - Literature will consist of documents loaded on to the server by an administrator and available for download by Ombudsman Specialists.
- Script Screen – provides interview scripts to support information gathering from contacts using scripted questions based on pre-defined scenarios

Case Tracking Functionality

Case Tracking provides the tools (screens) to record actions related to a case that are performed by the Ombudsman's office. Those actions consist of work tasks listed below:

- Opening a new case
- Assigning a case
- Working a case
- Researching a case
- Closing a case
- Adding information to a closed case

Opening a new case

OCTS will support the opening of a new case when any of the following activities occurs:

- Telephone Call
- Meeting
- Correspondence (including email)
- Referral by third party or partner

The system will use scripts:

- To assist Ombudsman Specialists in determining what information is to be collected when taking a call, by prompting with text
- To assist the specialist in creating new account, case, contact, or activity records as needed while taking the call
- To retrieve information on an existing account if it exists in the system by using the borrower's name or social security number.

Assigning a Case

Cases will be automatically assigned to Ombudsman Specialists based on the current workload and other factors (???). The supervisor will have the ability to modify the assignment by changing the specialist name on the Case form. Certain high-priority cases will be identified by (???? White house???) and assigned to the supervisor.

Working a case

When working a case, the Ombudsman Specialist will be able to perform the following functions:

- Review cases assigned
- Add activities
- Update demographic or contact information
- Add issues
- Closing a case
- Attach Documents

Review Cases Assigned

OCTS will provide Ombudsman Specialists with the ability to review all cases assigned, and to sort the list of assigned cases as desired (by open/closed status, date, name, case number, or other specified columns). Cases will be viewable both in a list format and in a detailed "form" view. The list view will show multiple data columns for each case and provide the capability to select a case for examination in a form view, where all the most-used fields for a case are visible on a single screen.

Add Activities

When working on a case, the Ombudsman's Office specialist will be able to record activities by adding an activity record to a case. The Activity record will reflect communication or action with a borrower, interested third party, or partner, or action taken by the specialist (such as research). Activities will be categorized under one of the specified activity types.

Update demographic or contact information

OCTS will provide the capability to add or update demographic or contact information for accounts, contacts, or partners. The system will allow multiple addresses for a single account.

Add Issues

When working on a case, the Ombudsman's Office specialist will be able to record multiple issues related to a case. The original issue will be displayed with the Case record, so that it can be referenced after other issues have been added or changed. The Issue record will be categorized into one of the specified categories, and may be additionally categorized by a sub-category. "None" will be one of the options for sub-categories.

Closing a Case

OCTS will provide a method for recording the results of a case that has reached a final or tentative disposition. The Results status will be recorded as Draft or Final by the Ombudsman Specialist, subject to Approval by the supervisor. The closed case information will remain available so that the Ombudsman specialist can reopen the case for further update.

Attaching a Document

The case tracking system will allow the Ombudsman Specialist to save electronic copies of documents related to a case. The attachments will be stored on the specialist's PC, and the OCTS system will provide screens that list attachments under the related Case or Account information, along with the ability to enter a descriptive comment about the document.

Scripts

Scripts support the gathering of information from contacts with five scenarios, listed below:

New Customer, New Case, borrower calls
New Customer, New Case, third party calls
Existing Customer, Existing Case, (4)
Existing Customer, Existing Case, borrower calls
Existing Customer, Existing Case, third party calls

The scripts provide a list of pre-defined questions to guide the OCTS user to gather and record case information in a standard way, and to retrieve case information if it has already been entered into the system. The script scenarios will provide a method for checking the caller's name and SSN to prevent the OCTS user from entering duplicate data.

The script scenarios will allow the OCTS user to:

Enter information for a new case
Enter new contact information for an existing account
Handle third party inquiries concerning a case
Record general assistance activity, partial information, and status information for a case
Categorize the issue

Knowledge Base

OCTS provides the capability to perform research on active and closed cases, attach documents or research notes to a case for future reference. The two research methods supported will be:

Using Related Cases
Using the Encyclopedia
Ad-hoc queries

Using Related Cases

OCTS will provide a query screen that will retrieve other cases from the database with the same Issue Category and Sub-Category. The Related Cases query screen will allow the Ombudsman Specialist to enter additional query criteria or modify the query before submission.
The Ombudsman Specialist will be able to add activity records to record (for reporting purposes) the time spent on research and results achieved.

Using the Encyclopedia

OCTS will provide the capability for a searchable “encyclopedia” of information that will be organized by Issue Category. The encyclopedia will provide the capability to display the following type of information, which will be organized by an administrator assigned by the Ombudsman’s office:

Decision Issue description
Explanation
How to Discuss tips for the Ombudsman Specialist
Literature related to the issue
Related Issues

Ad-hoc Query
In addition to the Knowledge Base and Encyclopedia, the OCTS system will provide generalized ad-hoc query capabilities so that Ombudsman Specialists can selectively query the Accounts, Cases, Issues, Contacts, and Results by any text field.

System Administration

System Administration screens provide the functionality to maintain the system by adding, removing, or modifying user ID’s, managing the assignment and workflow rules, and other administrative tasks.

Database administration is outside the scope of normal system activities, but is an essential part of maintaining the system. All users of the OCTS system must be defined in the system in terms of responsibility and position, and must also have a valid Oracle database user ID and password.

System Integration

The OCTS software must have utilities available to import and export data for the purpose of populating the database with loan information and extracting data from OCTS as required for interface with other SFA systems. Initially, an interface with the NSLDS database will be provided to upload student loan data into OCTS.

Workflow Automation
Cases will be automatically assigned to Ombudsman Specialists based on the current workload and other criteria (loan type, servicing agency, referred by). The supervisor will have the ability to modify the assignment by changing the specialist name on the Case form. Certain high-priority cases will be identified by the “referred by” field and assigned to the supervisor.

Self Service (future release)

OCTS will provide an Internet interface with the following functionality:

Borrowers will be able to query and view their own case status information

Borrowers will be able to initiate the creation of an account or case by entering demographic and case issue information to be submitted to the Ombudsman's Office

Borrowers will be able to complete and submit the customer satisfaction survey

Email Automation (future release)

Borrowers will be able to send email to the Ombudsman's Office from the web site

Automated email response will handle standard inquiries for literature, acknowledgements for email received and assigned to an Ombudsman specialist, and required notification (say, of status updates or upcoming appointments)

Reporting

Graphical reports (in the form of bar graphs) will be generated for cases with the following status criteria:

All Cases by Date Received
All Cases by Ombudsman Specialist
All Cases by Original Issue
Open Cases by Date Received
Open Cases by Ombudsman Specialist
Open Cases by Original Issue
Closed Cases by Date Received
Closed Cases by Date Closed
Closed Cases by Ombudsman Specialist
Closed Cases by Original Issue

Further management reports will be developed to meet requirements when criteria are developed for:

- Case resolution outcome
- Case processing step outcomes
- Case categorization reporting
- Customer Satisfaction survey
- Alerts to new problem case types